

**NSPS PERFORMANCE MANAGEMENT
QUICK REFERENCE GUIDE FOR INTERIM REVIEW, CLOSEOUT
ASSESSMENT, AND EARLY ANNUAL RECOMMENDED RATING**

INTERIM REVIEW

Reference: DoD 1400.25-M, Subchapter 1940, SC1940.6.4.

- At least one formal interim review shall be prepared, communicated to the employee, and documented in the Performance Appraisal Application (PAA) during the appraisal period.
- A formal interim review shall acknowledge achievements and suggest areas for improvement based on job objectives and contributing factors assigned, and provide meaningful dialogue between the rating official and the employee.
- Although not mandatory, employees are strongly encouraged to provide a self assessment to document accomplishments and help judge progress.
- DON recommends higher level reviewer approval for the interim review.
- An interim review is required when an employee is hired in a position and can be put under performance standards for 90 days or more in a rating cycle.
- Currently, the PAA Interim Review box allows 2,000 characters/spaces and 21 lines for the employee self-assessment. The rating official assessment box is restricted to these same limits.
- Interim review for temporary assignment - At the time of an employee's temporary assignment, the employee (provides input), temporary supervisor, and supervisor of the permanent position jointly determines whether to adjust the employee's assigned job objectives. Both supervisors will also jointly determine when to provide feedback on performance to the employee to allow at least one formal interim review to be documented.

CLOSEOUT ASSESSMENT

Reference: DoD 1400.25-M, Subchapter 1940, SC1940.6.4.

- A rating official shall prepare a closeout assessment for an employee when it is known that either the employee or the rating official will change position (due to job change, retirement, etc.) resulting in a new rating official for the employee.
- If the rating official or employee movement occurs within 90 days before the end of the rating cycle, the rating official will prepare an early recommended annual rating of record instead of a closeout assessment. The pay pool manager may allow exceptions based on individual circumstances.
- A closeout assessment is a brief narrative description of an employee's accomplishments and contributions, based on the job objectives and contributing factors, during the current appraisal period.
- A supervisor shall prepare a closeout assessment for employees when they complete a temporary reassignment (detail, temporary assignment, etc.) or a rotational assignment

(employees in developmental positions, interns, etc.), as input for the employee's recommended rating of record.

- If a rating official leaves before providing an employee with a written closeout assessment, the employee should contact the higher level reviewer (HLR), and the HLR will prepare the closeout assessment.
- A closeout assessment is only required if an employee has been assigned to a specific supervisor and has been on an approved performance plan for more than 30 consecutive days.
- Although it is not mandatory, employees are strongly encouraged to prepare a self assessment specifically for the closeout assessment.
- When an employee changes jobs during mid-cycle, the rating official is required to prepare a closeout assessment in the PAA. A rating official may also prepare an interim review in addition to the closeout assessment.
- If an employee leaves the organization and the rating official does not prepare a closeout assessment, the rating official should "close" the record in the PAA.

- **PAA Implications:**

a. If the employee changes jobs, a new performance plan may be necessary. The previous performance plan/appraisal will need to be "closed" by the rating official using the "Close" functionality under Plans/Appraisals in Progress. In this case, after the closeout assessment is documented, the Rating Cycle End Date on the original performance plan/appraisal must be changed to 1 day prior to the effective date of the job change. The new performance plan is initiated with a Rating Cycle Start Date equal to the effective date of the job change.

b. If a new performance plan is not required, the rating official may transfer the performance plan to the new rating official following completion of the closeout assessment.

c. If the supervisor changes jobs, the supervisor must complete closeout assessment and use the Change Rating Official feature to route the existing performance plan to the new supervisor. No changes to the Rating Cycle dates are needed.

EARLY ANNUAL RECOMMENDED RATING

Reference: DoD 1400.25-M, Subchapter 1940, SC1940.9.3.2 and SC1940.AP4.1 - AP4.1.2

- When the rating official or employee leaves the organization (reassigned, resigned, promoted, demoted, retired, etc.) resulting in the rater and ratee relationship ending and if this change occurs within 90 days before the end of the rating cycle, the rating official shall prepare an early recommended annual rating of record for the employee. The pay pool manager may allow exceptions based on individual circumstances.
- The period of time between the date of the event that triggered the early annual recommended rating of record and the normal end of the rating cycle shall be carried forward into the next appraisal period, resulting in a longer rating period for the following rating cycle. For instance, an employee is promoted 60 days before the end of regular appraisal period. The supervisor shall prepare an early annual recommended

rating of record as of that date which, when reviewed, reconciled, and approved by the pay pool panel, shall be the employee's rating of record. The 60 days that were not covered or rated by the early recommended rating of record shall be appended to the new performance year, making it 14 months in length, and shall be assessed and rated at the normal end of the new appraisal period.

- Employees are strongly encouraged to prepare self-assessment for an early annual rating of record.
- Rating officials should address achievements for each job objective and the associated contributing factor(s), and must include the recommend rating of record, share assignment, and payout distribution.
- Higher level review is required for the recommended rating of record, share assignment, and payout distribution prepared by the rating official.

The table below summarizes appraisal actions required by the rating official (RO), when the RO or employee leaves the organization (reassignment, resignation, promotion, demotion, retirement, etc.) resulting in the rater and ratee relationship ending. If the position change occurs during the mid-cycle, the rating official may also prepare an interim review depending on local policy.

Note: Required actions must be completed before the supervisor leaves.

When	Employee assigned to a specific RO	Appraisal Action by RO	Dates to Use	Performance Plan Disposition
Within 90 days of rating cycle end date	More than 90 days and under an approved performance plan	Recommended early annual rating (to be used by Pay Pool Panel)	- Rating Cycle End Date: RO's last day - Appraisal Effective Date: 1 Jan of following year (e.g., 1 Jan 08)	Transfer to new RO*
	More than 30 consecutive days	Closeout assessment	No change to plan dates	Transfer to new RO *
	30days or less	No action	N/A	Transfer to new RO*(if plan has been established)
All other times	More than 30 days	Closeout assessment	No change to plan dates	Transfer to new RO*
	30 days or less	No action	N/A	Transfer to new RO* (if plan has been established)

* If the new supervisor is not available or on board yet, send the performance plan to the higher level reviewer or other designated management official.